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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 3100.1B**Effective Date: December 19,
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Request Notification of Change (NASA Only)

Subject: Management of the Senior Executive Service (SES)**Responsible Office: Office of Human Capital Management**[| TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [Chapter6](#) | [Chapter7](#) | [AppendixA](#) |
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Chapter 3. Staffing

3.1 Staffing Procedural Requirements

3.1.1 The Agency goal is to recruit and select the best qualified executives from the widest practical recruitment sources for SES career appointments, including appropriate sources for minority and female candidates and candidates with disabilities. The extent of the recruitment area beyond the required minimum area (i.e., civil service wide) depends upon the position and the potential sources of candidates for the position.

3.2 Qualification Standards and Requirements

3.2.1 Qualification standards are developed by the ERP at the time recruitment for a vacant position is initiated or when an existing position, whether encumbered or not, is altered substantially. The standards are developed by or with the supervisor or other management official(s).

3.2.2 Qualification standards are:

- a. Based on a job analysis and identifies the breadth and depth of professional, technical, executive, and managerial knowledge, skills, and ability, or other qualifications that are essential and desirable for successful performance in the position.
- b. Developed with sufficient specificity that qualitative distinctions among candidates are possible.
- c. Job related but may not emphasize Agency-related experience to the extent it precludes well-qualified candidates from outside the Agency from consideration.

3.2.3 The same procedures for developing standards apply to both Career Reserved and General SES positions.

3.2.4 In addition to the job-specific qualifications, ECQs are required for all SES positions. ECQs shall be certified by OPM's QRB for initial career appointments to the SES. The ECQs are:

- a. Leading Change.
- b. Leading People.
- c. Results Driven.
- d. Business Acumen.
- e. Building Coalitions.

3.3 Vacancy Announcements

3.3.1 In addition to the mandatory requirements found in 5 CFR § 317.501, career SES vacancy announcements will include:

- a. Issuing Agency.
- b. Announcement Number.
- c. Series.
- d. Position Title.
- e. Pay Plan.
- f. Duty Location.
- g. Area of Consideration.
- h. Pay Ranges.
- i. ECQs and Technical Qualification Requirements and Evaluation Methods.
- j. Number of Vacancies.
- k. Opening and Closing Dates.
- l. How to Request Additional Information.
- m. How to Apply.

3.3.2 Veteran's preference does not apply to applicants for or members of the SES.

3.4 Applicant Evaluation Procedures

3.4.1 The ERP will evaluate applicants against the qualifications requirements in the vacancy announcement and group the candidates into Highly Qualified, Qualified, and Not Qualified groups. Brief narratives delineating the objective rationale for the Panel's determinations will be recorded in the vacancy file.

3.4.2 Current career SES members or former career SES members with reinstatement eligibility shall be forwarded by the ERP to the EPM for selection consideration without rating and ranking, provided the ERP determines they meet the minimum technical requirements for the position.

3.4.3 The ERP will provide the EPM with written recommendations and the Panel's brief rationale for all Highly Qualified candidates who apply for a vacancy to be filled by a career appointee. Information on candidates not in the Highly Qualified group will be maintained in the vacancy file. Only Highly Qualified candidates are eligible for referral selection consideration.

3.4.4 The EPM shall provide the following for review by management normally within 30 work days of the closing date of the vacancy announcement:

- a. NASA Form 1669 describing and justifying the requested action, including the recommended pay.
- b. A justification if requesting recruitment, relocation, or retention incentive and/or a salary increase greater than 6 percent.
- c. The vacancy announcement, position description, and ERP recommendations/documentation.
- d. For selections recommended for initial career SES appointment, a written statement demonstrating the candidate's ability in the five ECQs, as defined in the vacancy announcement.
- e. The candidate's application, including responses to technical qualifications requirements.
- f. Required concurrences from Mission and Mission Support Associate/Assistant Administrator or functional/program managers with oversight of programs or functions at NASA Centers for selections and other personnel actions in their respective areas of responsibility recommended by EPMs at the Centers.
- g. Any other information which may be required by the Administrator, such as a summary of the results of the staffing process followed or the narrative personal endorsement of the recommended candidate, as prepared by the EPM or other executive, as appropriate.

3.5 Documentation Requirements

3.5.1 In accordance with 5 CFR § 317.501, the following records will be maintained for a period of two years after the date of initial career appointment (or the closing date of the vacancy announcement if no selection is made) or until an OPM evaluation, whichever occurs first:

- a. The USAJOBS vacancy control number and the vacancy announcement (including the qualification standard).

- b. The position description.
- c. A list of organizations and addresses to which the vacancy was distributed, if any, and the distribution rationale.
- d. Originals of all applications received and electronically retained in NASA Staffing and Recruitment System (STARS).
- e. The selection procedures (rating plan) applied.
- f. The names and organization titles of ERP members.
- g. Written recommendations of the ERP (signed and dated), including a list of the groupings of all applicants and the supporting rationale or rating sheets.
- h. Any references, concurrences, or qualifications questionnaires or inquiries obtained on applicants.
- i. A record of which candidates were interviewed.
- j. A copy of the NASA Form 1669 and any justifications submitted in support of the selection.
- k. Documentation regarding any complaints or appeals to the ERP and any ERP findings.

3.5.2 To the extent practicable, required documentation will be maintained electronically through STARS.

3.5.3 The HQ Human Resources Management Division will serve as the repository for such records for the EPMs located at HQ. For Centers, the Center Human Resources offices should be the repository.

3.5.4 The EPM shall retain all versions of a position's qualification standard for the life of the position.

3.5.5 A description of the procedures used by the Center for filling career SES vacancies by merit staffing are available and open to review by anyone requesting the information. Applicants are also entitled, upon request, to know if they were eligible for the position and if they were referred to the selecting official for consideration for appointment. They may have access to qualifications questionnaires or reports of qualifications inquiries about themselves, except for information that would identify a confidential source.

3.6 Noncompetitive Actions

3.6.1 EPMs may identify viable candidates to fill an SES position from among current and former career SES appointees either within or outside the Agency. Filling the position noncompetitively through reassignment, transfer, or reinstatement requires the same concurrences and approvals as a competitive SES selection.

3.6.2 A graduate of an SES Candidate Development Program (CDP) that was open to applicants at least civil service wide and whose ECQs have been certified by an OPM QRB may be appointed to an SES position without further competition under OPM regulations. Filling the position noncompetitively with a certified CDP graduate requires the same Agency concurrences and approvals as a competitive SES selection.

3.7 Executive and Schedule C System (ESCS)

3.7.1 Center/HQ Human Resources offices/NASA Shared Service Center shall ensure that required data is entered into the automated ESCS database at the time proposed selections for initial SES appointments are forwarded for approval.

3.7.2 Center/HQ Human Resources offices shall ensure that the automated ESCS database is updated whenever a reported data element in the system changes or additional actions occur (including reassignments and pay adjustments).

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